



# Application and account opening form

# Application and account opening form

The undersigned applies to open a register account for the participation in any of the Robeco Funds mentioned in Appendix 8 (hereinafter the "Fund"), of which Robeco Institutional Asset Management B.V. (the "Company") is responsible for the distribution.

Execution of this form is a prerequisite to be able to be included as a Shareholder in the registers of any of the Funds. The legal relationship between an individual Fund and the undersigned will only commence upon the actual subscription for shares or units in such a Fund.

Please complete this form in capital letters and return it with relevant supporting documentation to the Registrar of the Fund (the "Registrar") by post or email.

The postal address for the Registrar is:

**J.P. Morgan SE  
6c Route de Treves  
L-2633 Senningerberg  
Grand Duchy of Luxembourg**

The email address for the Registrar is:

**roboco.ta@jpmorgan.com**

When submitting your application to the Registrar, please also copy **client.service@roboco.nl** and **KYC.center@roboco.com** to ensure a smooth on-boarding process. Please do not modify, change or delete any item in this form. The non-delivery of requested information or supporting documents may delay the account opening process.

If you have any questions, please contact the Registrar on (+352) 4626 85200 or send an email to **roboco.ta@jpmorgan.com**. Additional information can be found in the Investor Guide (**Robeco**) which also includes information regarding settlement instructions and cut-off times.

<b>1. Corporate investor information (including intermediary acting in its own name on behalf of third parties)</b>	<b>3</b>
<b>2. Type of investment &amp; information (if applicable)</b>	<b>4</b>
<b>3. Ultimate economic beneficiary</b>	<b>7</b>
<b>4. Account information</b>	<b>8</b>
<b>5. Reporting and correspondence preferences</b>	<b>9</b>
<b>6. TAX information</b>	<b>11</b>
<b>7. Origin of the monies invested</b>	<b>15</b>
<b>8. Expected investment(s) and trade frequency</b>	<b>16</b>
<b>9. Declaration by the account holder</b>	<b>17</b>
<b>APPENDIX 1 General Terms and Conditions</b>	<b>18</b>
<b>APPENDIX 2a Ultimate Economic Beneficiary Information for all entity types apart from Trusts, Foundations &amp; Similar legal arrangements</b>	<b>20</b>
<b>APPENDIX 2b Ultimate Economic Beneficiary information for Trusts, Foundations &amp; Similar legal arrangements</b>	<b>24</b>
<b>APPENDIX 2c Ultimate Beneficial Ownership Declaration for: Power of Attorney holder or Third-party payments beneficiary</b>	<b>28</b>
<b>APPENDIX 3 Institutional Investor Self-Declaration</b>	<b>31</b>
<b>APPENDIX 4 FATCA Notes</b>	<b>32</b>
<b>APPENDIX 5 CRS Notes</b>	<b>34</b>
<b>APPENDIX 6 General Tax Notes</b>	<b>35</b>
<b>APPENDIX 7 SWIFT Set Up Form</b>	<b>36</b>
<b>APPENDIX 8 Consent for Reuse of Information</b>	<b>37</b>
<b>APPENDIX 9 Robeco Funds</b>	<b>38</b>

## 1. Corporate Investor Information (including intermediary acting in its own name on behalf of third parties)

Please tick the Investor Type most applicable to your application below:

Bank Unregulated Fund Regulated Occupational Pension Scheme Other (please specify):	Nominee Foundation/Association Insurance Company Unregulated Occupational Pension Scheme	Corporate Government entity Fiduciary/Trust Collective Investment Scheme	Pension Fund Partnership Investment/Mutual Fund Foundation/Stichting/Charity
Company Name: <small>Account holder name is limited to 70 digits. Lengthy account holder name needs to be shorten or abbreviated. No commas in account holder name allowed.</small>		Parent company/Head office:	
Corporate Investor Information: <small>(Actual Investor name)</small>			
Date of Incorporation (DD/MM/YYYY): / /	Country of Incorporation:	Company Registration Number:	Principal place of business:
Registered Address* Street and number:	Registered Address Town/Village:	Registered Address Post Code:	Registered Address Country:
Mailing Address if different from above Street and number:	Mailing Address Town/Village:	Mailing Address Post Code:	Mailing Address Country:
Area of activity:  If Private Banking/Private Wealth Management, please tick:  If Investment Fund: Publicly distributed Fund Dedicated Fund	Stock exchange listing: No  Yes:  Listing Code:	Regulated Entity: No  Yes:  Regulator:	License number:  Regulator web-address:
Telephone**:	Fax**:	E-Mail**:	Mobile-Phone**:
Contact name 1:  E-Mail:  Contact number:	Contact name 2:  E-Mail:  Contact number:	Contact name 3:  E-Mail:  Contact number:	Contact name 4:  E-Mail:  Contact number:

\* P.O. Box and "in care of" addresses are not valid registered addresses and are only acceptable for mailing purposes.

\*\* This information is for communication purposes, section 5 is for reporting and correspondence purposes.

If you are an existing intermediary, please provide your agent number.

If you are an existing investor, please provide your current TA account number as a reference:

Yes   No   We are an Institutional Investor, as defined in the Fund Prospectus, and have confirmed this by completing and signing Appendix 3. We confirm that, prior to deciding to invest, we and/or the underlying beneficial owner has had access to the applicable Key Investor Information Document ("KIID"). The latest version can be reviewed under the "Fund Selector" section of the [www.robeco.com](http://www.robeco.com) website.

Yes   No   We confirm that, to the best of our knowledge, all applicable tax rules and regulations are complied with.

Yes   No   We are (a) an employee benefit plan ("ERISA Plan"), as defined in Section 3(3) of ERISA, subject to Title 1 of ERISA or Section 4975 of the U.S. Internal Revenue Code of 1986, as amended, (b) a person acting on behalf of an ERISA Plan; or (c) a person the assets of whom constitute assets of an ERISA.

## 2. Type of investment & information (if applicable)

Select the most relevant option below. I/we confirm that the investment into the Fund:

A) Is made on my/our own behalf and is not in favour of a third party.

### Please proceed to section 3.

Is made on behalf of third party and that the account will reflect:

B) a Pooled Account (reflecting a pool of underlying clients typically with a generic designation such as "Clients account" or with a designation that makes reference to a region, product or multiple specific client).

C) a Segregated Account (a specific account for a single underlying third party).

In such case, please select either one option below:

The designation of the account will refer to the underlying client name.

The designation of the account is coded (the designation contains an internal reference, numbers or combination of letters which do not allow an external party to identify the underlying client).

### 2.1. Intermediary (acting in its own name) MIFID Categorisation

If you are an Intermediary, please indicate the MIFID category under which you deal with the underlying investor(s) for this account. Please note that if you fail to indicate the category, the underlying investor(s) will be classified as a Retail Client.

Professional Client

Eligible Counterparty

### 2.2. Intermediary (acting in its own name) Type of business

Please indicate whether the account will be used to transact for "advised" or "execution-only" business. If both types of transactions are used, then two different accounts need to be opened.

Advised business

Execution-only business

### 2.3. Intermediary (acting in its own name) Type of relationship

Please indicate the type of intermediary role:

Distributor/sub-distributor

Paying Agent

Platform

Custodian

Trustee

Nominee

Other intermediary/agent type

**If you have indicated a Segregated Account, please proceed to section 2.5.**

**If you have selected Pooled Account, please complete section 2.4 below.**

### 2.4. Intermediary (acting in its own name) Pooled accounts

Pooled accounts need to be classified for different purposes (e.g. RDR Rules, RFA rules, etc.). Please indicate whether the account is used for one of the below mentioned distribution types:

UK Retail business (RDR)

Jersey Retail business (RFA)

Not applicable

## 2.5. Intermediary Information (not acting in its own name)

Bank	Nominee	Other Financial Institution	Insurance Company	
Other (please specify):				
Company full Name:	Parent company/Head office:	Intermediary Role <sup>1</sup> :	Account number or designation: <sup>**</sup>	
Date of Incorporation (DD/MM/YYYY): / /	Country of Incorporation:	Company Register and number:		
Registered Address* Street and number:	Registered Address Town/Village:	Registered Address Post Code:	Registered Address Country:	
Mailing Address if different from above Street and number:	Mailing Address Town/Village:	Mailing Address Post Code:	Mailing Address Country:	
Area of activity:	Stock exchange listing: No	Regulated Entity: No	License number:	
	Yes: Listing Code:	Yes:	Name of Regulator:	Regulator web-address:
Telephone:	Fax:	E-Mail:	Mobile-Phone:	
Contact name 1: E-Mail: Contact number:	Contact name 2: E-Mail: Contact number:	Contact name 3: E-Mail: Contact number:	Contact name 4: E-Mail: Contact number:	

\* P.O. Box and "in care of" addresses are not valid registered addresses and are only acceptable for mailing purposes.

\*\* For items A, B below, please provide information for each account or sub-account number.

### A. Expected level of total investment:

Less than USD 1 million (or equivalent in other currency)

Between USD 1 million and USD 10 million (or equivalent in other currency)

Between USD 10 million and USD 50 million (or equivalent in other currency)

More than USD 50 million (or equivalent in other currency)

Other (please provide commentary):

### B. Information on underlying customers

Please provide the following information for each account or sub-account as per items 1b and 2b below.

1b. Country/Countries of the underlying customer(s)<sup>2</sup>:

2b. Legal entity type(s)<sup>3</sup> of underlying customer(s):

**Important:** If you hold multiple accounts or sub-accounts, please provide information on a separate page, sheet, or file (e.g., PDF, Excel table, etc) indicating the account number or designation and the respective information points as listed in items A and B below for each account or sub-account. New accounts and sub-accounts can only be registered where this information is provided.

1. Intermediary is defined as legal entity which acts in its own name and conducts transactions on behalf of its underlying customers, investors or third parties through accounts it maintains with the Fund. Intermediary role may include intermediaries, nominees, platforms, distributors, or branches/subsidiaries of a regulated entity acting as an intermediary. For other Intermediary role, please specify and provide details as required
2. Underlying Customer is defined as the underlying investor(s)/respondent(s) behind the intermediary's account(s) or sub-account(s).. Country indicates the origin of the Funds (geographical origin)
3. Legal Entity types typically include: Pension Fund, Financial Institution or Insurance Company investing their own assets, Intermediary/Nominee, Government Entity, Corporation, Charity, Non-Profit Organisation, Foundation, Sighting, Trust, Partnership, Investment Fund, Private Individual. For others, please specify.

## 2.6. Intermediary declaration

The intermediary confirms that:

- 2.6.1. it has based on the regulation applicable in its country of incorporation appropriate means and internal procedures to prevent and avoid the utilization of the Fund for the purposes of money laundering (i.e. any activity involving the investment, concealment or conversion of the direct or indirect proceeds of criminal activities as listed in Luxembourg laws and regulations) or terrorism financing, and to detect and intercept money laundering channels or chains.
- 2.6.2. complies with the European Parliament and the Council Directive 2016/849/EC on prevention of the use of the financial system for the purpose of money laundering and terrorism financing.
- 2.6.3. it substantiates, on the basis of probative of official documents, the true identity of
  - 2.6.3.1. all its clients, both regular and occasional, including investors into funds for which it acts as intermediary, and
  - 2.6.3.2. where its clients are not acting on their own behalf, of final economic beneficiaries (i.e. ultimate beneficial owners) and authorized representatives of the clients hereinafter collectively referred to as the "Client".
- 2.6.4. where its clients are not acting on their own behalf, it procures compliance by such client with the various clauses mentioned herein.
- 2.6.5. It retains related Client identification documentation for a period of at least 10 (ten) years during the relationship and at least (5) five years after the end of its relationship with the Client.
- 2.6.6. When required by the Fund, the Company, the Registrar or any other competent body or authority, Client identification documents shall be immediately made available to the requesting entity.
- 2.6.7. Its procedures for the prevention of money laundering and terrorist financing include the monitoring of Client transactions, including, but not limited to, the monitoring of the source and destination of funds, the review of the purpose and object of the transaction, and, with a risk-based approach, applying enhanced checking procedures to transactions which it identifies as unusual in their size, conditions or nature. If the intermediary becomes aware of or knows of Clients carrying out large transactions that are deemed unusual and complex, the intermediary shall give access and forward copies to the Fund of documents relating to the identification of Clients and the nature of the business relationship.
- 2.6.8. it shall accept any verification, on site or on supporting documents, that could be carried out by the Fund, the Company, the Registrar or any other competent body or authority, of the existence and implementation and effectiveness of the anti-money laundering and anti-terrorism financing procedures mentioned here-above.
- 2.6.9. it shall provide the Fund upon request with a report signed by the compliance officer confirming compliance with all relevant laws and the clauses stipulated herein.
- 2.6.10. It is aware of the terms and information contained in the prospectus, the articles of incorporation and the key investor information document of the Fund and shall observe them. In particular it shall not allow the purchase or holding of shares of the Fund or any of its sub-funds by persons not authorized to purchase or hold them under the provisions of the prospectus.
- 2.6.11. It will make available to its Client that are investors of the Fund all information and notice received from or issued by the Fund, the Company or any of their agents and intended to be provided to the beneficiaries.
- 2.6.12. It shall not advertise for Clients, solicit Clients, or sell any of the shares of the Fund or its sub-funds, unless it may do so in compliance with the laws and regulation applicable in Luxembourg or in other country where such advertising, solicitation, offer or sale takes place.
- 2.6.13. It is aware of the UN – EU, OFAC, CSSF, Egypt Asset Freeze watch lists contained in regulations concerning identification and declaration of business relations with suspected terrorist groups, persons or entities, or country subject to embargo, and has checked and will monitor that none of Clients does appear on such list.
- 2.6.14. Its officers, employees and all agents used by it comply strictly with all related procedures and controls in place.
- 2.6.15. It hereby certifies that it
  - 2.6.15.1. is not a shell bank within the meaning given to these terms under U.S. Patriot Act: Uniting and Strengthening America by Providing Appropriate Tools Required to Intercept and Obstruct Terrorism Act) or any other similar legislation and 2.6.11.2. does not accept shell banks as a Client.
  - 2.6.15.2. It is complying with FATCA regulation applicable in its country of incorporation and in particular it has appropriate means and internal procedures to identify and classify its clients according to applicable FATCA regulation.
- 2.6.16. It has taken knowledge of the applicable General Terms and Conditions.

This confirmations shall be deemed reiterated at the time of any order placed and shall continue throughout the period of its holdings in the Fund on behalf of its underlying clients. The Intermediary commits to inform the Fund, the Company and the Registrar if the Intermediary ceases to be regulated or if its license is altered and does not qualify the Intermediary anymore to act in its own name on behalf of third party.

Signature of Intermediary representative 1	
Name:	
Title:	
Signature of Intermediary representative 2	Intermediary stamp
Name:	
Title:	Date and place of signature

### 3. Ultimate economic beneficiary

An ultimate economic beneficiary is the final beneficiary of the investment and who owns – directly or indirectly – more than 25% of the value of the shares subscribed. This final beneficiary can be either a private person(s) or a publicly quoted company(ies) for which more than 75% of their capital is listed on a recognized stock exchange. This also includes any natural person(s) who ultimately owns or controls the customer or any natural person(s) on whose behalf a transaction or activity is being conducted.

Important: In case of indirect ownership, please describe on a dated and signed chart all the intermediate levels of ownership with names and percentages. Please provide the information if any of the account holder or the ultimate economic beneficiary(ies) is/are either:

<p>person categorized as a Politically Exposed Person ("PEP"). This is an individual with a high profile political role, or who has been entrusted with a prominent public function</p>	<p>If applicable, please describe:</p>
<p>a relative of a PEP</p>	
<p>a close associate of a PEP</p>	
<p>No PEP</p>	

- \* The equivalency is determined on the country list applied by the fund, the company, the registrar or any agent appointed by them, please contact the Register for further details.
- \*\* Please provide comfort letter together with this form to allow evaluation.

### 3.1 Ultimate Economic Beneficiary declaration

I/we declare I/we am/are the ultimate economic beneficiary(ies) of the shares being subscribed. (more than 25% of the value of the shares subscribed.)

Signature of the account holder	Signature of the joint account holder(if any)
---------------------------------	-----------------------------------------------

I/we am/are not the ultimate economic beneficiary of the shares being subscribed\* (Please fill out section 4: Control Senior Managing Official (SMO) of Appendix 2a)

## Proceed to section 4.

### 3.2 Ultimate Economic Beneficiary information

The following information for each individual, if any, who, directly or indirectly, through any contract, arrangement, understanding, relationship or otherwise, owns 25% or more of the equity interests of the legal entity listed above:

Signature of the account holder	Signature of the joint account holder(if any)
---------------------------------	-----------------------------------------------

## 4. Account information

### 4.1 Bank Account Details

#### 4.1.1. Subscription payments

Please complete the bank account details from where subscriptions payments will be made from when investing into the Fund(s). The account must be in the name(s) of the account holder(s). No third party payments are allowed.

Bank:	Bank SWIFT / BIC / Sort Code:
Account holder / Name of the account:	IBAN Number:

If payments are made through a correspondent bank, please provide the details below.

Bank:	Bank SWIFT / BIC / Sort Code:
Account holder / Name of the account:	IBAN Number:

#### 4.1.2. Redemption payments

Please complete the bank account details which needs to be used for redemption proceeds. The account must be in the name(s) of the account holder(s). No third party payments are allowed.

Bank:	Bank SWIFT / BIC / Sort Code:
Account holder / Name of the account:	IBAN Number:

If payments should be made through a correspondent bank, please provide the details below.

Bank:	Bank SWIFT / BIC / Sort Code:
Account holder / Name of the account:	IBAN Number :

### 4.2. Dividend instructions (Only applicable to Dutch Domiciled Funds)

Dividends from all of Robeco's Luxembourg Domiciled Fund Range will be paid to the bank account provided in section 4.2.2.

If you are investing in Robeco's Dutch Domiciled Fund Range, please choose one of the options below:

Dividends must be paid out to the bank account provided above

Dividends must be automatically reinvested to purchase additional shares

## 5. Reporting and correspondence

Shareholder notices will always be delivered by post. In addition to post delivery, you can also receive Shareholder notices via email. Please provide the name(s), surname(s) and email address(es) you would like to add to the Shareholder notice distribution list in the table below:

Name & Surname	Email address

Contract notes, statements & valuations, dividend vouchers and transfer confirmations can be delivered via post, fax, email or swift. Please indicate your preferred correspondence method below:

Name & Surname	(drop down selection) Email/Post/ Fax/Swift	Provide applicable Email Address(es)/Postal address/Fax number/Swift	Contract Notes	Statements & Valuations	Dividend Vouchers	Transfer Confirmations

If you prefer to receive your correspondence via Swift, please complete Appendix 7. Please also provide your swift code and tick the relevant box(es) below:

SWIFT code

Swift MT535

Swift MT536

SWIFT XML (Format)

**JPM Online Transfer Agency Portal (TAP)**

JPM offers a free secure online Transfer Agency Portal (TAP) which allows investors to view their account information online. Real time valuation information on holdings, price information, transaction information (e.g. subscriptions, redemptions), distribution information, account documentation (e.g. contract notes, statements) are all available via the online portal.

**If you already have access to TAP, you can link this new account to your existing TAP profile by using the same user name(s) and password(s).**

Name
Phone Number
Username
Email Address

Name
Phone Number
Username
Email Address

Name
Phone Number
Username
Email Address

**If you would like access to TAP, please provide the names and contact details of those individuals whom you would like to give access to in the box(es) below.**

Name
Phone Number
Email Address

Name
Phone Number
Email Address

Name
Phone Number
Email Address

\*If there isn't enough space to include all those who need access, please provide name, phone number, and email on a separate document.

## 6. Tax information

As per the international and local tax laws and regulations applicable to the Fund, the Company and their investments, the Fund and the Company have a **mandatory duty** to collect tax related information about the Account Holder and as the case may be the final beneficiary owner(s). In certain circumstances, the Fund and the Company may be obliged to share this information with relevant tax authorities according to applicable tax laws and regulations.

**If you have any questions about your tax residency, please contact your tax advisor.**

Alternatively, please consult OECD website to help determine your tax residence:

[www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-residency](http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-residency)

For FATCA related questions you may also consult the IRS website:

[www.irs.gov/Businesses/Corporations/Foreign-Account-Tax-Compliance-Act-FATCA](http://www.irs.gov/Businesses/Corporations/Foreign-Account-Tax-Compliance-Act-FATCA)

### 6.1. Entity Section

**Please complete all sections below as directed, referring to the explanatory notes in the Appendices to this form for key definitions.**

- Appendix 4 – FATCA Notes – will provide definitions and instructions to complete sections 6.1.2 to 6.1.4
- Appendix 5 – CRS Notes – will provide definitions and instructions to complete sections 6.1.5 to 6.1.6 controlling persons.
- Where the Account Holder is a Passive Non-Financial Foreign Entity, or an Investment Entity located in a Non-Participating Jurisdiction managed by another Financial Institution—Please provide information on the natural person(s) who exercise control over the Account Holder (individuals referred to as "Controlling Person(s)") in section 6.1.6 controlling persons of this document or by completing an "Individual self-certification form" for each Controlling Person.

#### 6.1.1. U.S. Person

If you are not a U.S. Person, please proceed to sub-section 6.1.2 or 6.1.4 accordingly. Please tick and complete as appropriate.

The Entity is a Specified U.S. Person and the Entity's U.S. Federal Taxpayer Identifying number (U.S. EIN) is as follows:

**U.S. EIN:** \_\_\_\_\_

The Entity is a U.S. Person but not Specified and the Entity's U.S. Federal Taxpayer Identifying number (U.S. EIN) is as follows:

**U.S. EIN:** \_\_\_\_\_

#### 6.1.2. Financial Institutions – FATCA classification

Please tick and complete as appropriate. You might refer to FATCA classification notes in Appendix 4 or to

[www.irs.gov/Businesses/Corporations/Foreign-Account-Tax-Compliance-Act-FATCA](http://www.irs.gov/Businesses/Corporations/Foreign-Account-Tax-Compliance-Act-FATCA)

Is the entity a custodial institution, a depository institution, an investment entity or an insurance company that offers insurance contracts with an investment component or annuity contracts?

**Yes**   **No** (If no, please proceed to section 6.1.4)

**Select from one of the options below as a Foreign (Non-U.S.) Financial Institution (FFI):**

Reporting Model 1 FFI      Reporting Model 2 FFI      Participating FFI

Registered Deemed Compliant FFI (other than Reporting Model 1 FFI or sponsored FFI)

Sponsored FFI (in an IGA model 2 country or in a non IGA country – sponsored entity's GIIN to be provided in this section)  
*please proceed also to section 6.1.3*

Sponsored FFI (in an IGA model 1 country with US reportable accounts or with its own GIIN number available – sponsored entity's GIIN to be provided in this section) please proceed also to section 6.1.3

A list of the Partner Jurisdictions is available on the U.S. Treasury's website:

[https://www.treasury.gov/resource-center/tax-policy/treaties/Pages/FATCA-archive.aspx](http://https://www.treasury.gov/resource-center/tax-policy/treaties/Pages/FATCA-archive.aspx)

**If any of the boxes above is checked, please provide your Global Intermediary Identification Number (GIIN) below:**

**If you are a Financial Institution but do not have a GIIN, please tick one of the below reasons:**

Non-Participating Foreign (Non-US) Financial Institution (NPFI)

Non-Reporting IGA Model 1 Foreign (Non-US) Financial Institution that is a sponsored entity that doesn't require a GIIN (where this box is checked and the sponsored entity subsequently requires a GIIN, the GIIN should be provided within 30 days of obtaining it.)

Non-Reporting IGA Foreign (Non-US) Financial Institution. Please specify:

- a. The IGA country:
- b. The Non-reporting category applicable:

Exempt Beneficial Owner. Please specify the type of Exempt Beneficial Owner that the Entity is:

Government Organization      Central Bank      Exempt Retirement Fund  
International Organization      Entity wholly owned by an Exempt Beneficial Owner(s)  
Other (Please specify):

**If "Other" box is checked, please provide us with the applicable W-8 form as available on the IRS website at [www.irs.gov](http://www.irs.gov).**

**6.1.3. Sponsored Entity – FATCA classification**

Additional Information required for all Sponsored Entities:

Name of the sponsoring Entity:

GIIN number of the sponsoring Entity: \_\_\_\_\_

**6.1.4. Non-Financial Institutions - FATCA classification**

If the Entity is not a U.S. person and not a Financial Institution, please tick and complete as appropriate:

The Entity is an Active Non-Financial Foreign Entity.

The Entity is a Passive Non-Financial Foreign Entity (please provide details of any Controlling Persons (whose percentage of ownership is 25% or greater) which are U.S. citizens or residents in the U.S. for tax purposes in section 6.1.6. The term Controlling Persons is to be interpreted in a manner consistent with the recommendations of the Financial Action Task Force.

The Entity is an Excepted Non-Financial Foreign Entity.

Other, please specify: \_\_\_\_\_

**If "Other" box is checked, please provide us with the applicable W-8 form as available on the IRS website at [www.irs.gov](http://www.irs.gov)**

**6.1.5. CRS Classification**

**6.1.5.1. Declaration of Tax Residence-CRS**

Please indicate the Entity's country of tax residence. If the Entity is a tax resident in more than one country, please detail all countries of tax residence and associated Tax ID numbers or equivalents. Should below space be insufficient, please provide information on a separate sheet.

Country of Tax residence	Tax ID Number (TIN) or equivalent	TIN or equivalent not available	Reason if TIN or equivalent not available:

#### 6.1.5.2. Entity type identification

Please tick and complete as appropriate. You might refer to CRS classification notes in Appendix 5.

##### I- Financial Institution (FI)

Investment Entity with tax residence in non-participating jurisdiction and managed by another FI (please fill in Section 6.1.6)

Other Investment Entity

Financial Institution other than above Investment Entity (Depository Institution, Custodial Institution, Specified Insurance Company)0

Financial Institution Non Reporting according to your local jurisdiction legislation where you are resident

Enter precise category below :

##### II- Non Financial Entity (NFE)

Active Non Financial Entity - Corporation that is regularly traded or an affiliate of such corporation

Active Non Financial Entity - Governmental Entity or Central bank

Active Non Financial Entity - International Organisation

Active Non-Financial Entity other than above Active Non Financial Entity classifications

Passive Non-Financial Entity (please fill in Section 6.1.5)

If the Entity is a Passive Non-Financial Entity or Investment Entity with tax residence in non-participating jurisdiction, please provide details of any Controlling Persons. The term Controlling Persons is to be interpreted in a manner consistent with the Financial Action Task Force Recommendations.

#### 6.1.6. Controlling Persons identification

This section is mandatory if Entity Type is indicated:

- In section **6.1.4 as Passive Non-Financial Foreign (Non-U.S.) Entity**
- In Section **6.1.5.2 as Passive Non-Financial Entity**
- In Section **6.1.5.2 as Investment Entity with tax residence in non-participating jurisdiction**

Please provide details below of any Controlling Persons. Should below space not be sufficient – please provide information on a separate sheet. Should Controlling Persons have more than one tax residence, please use the below space or provide information on a separate sheet. Select if there are no Individuals that are Controlling Persons of the Entity.

Full name*	Date of birth*	Place of Birth	Full residence Address*	% of ownership	Tax residence country*	TIN or equivalent*	Comments if no TIN or Equivalent*	Role number (please see below table for reference)

\* Mandatory Fields

##### Controlling Persons Type - allowed Role number entries:

CP of legal person – ownership	801	CP of legal arrangement – trust – other	808
CP of legal person – other means	802	CP of legal arrangement – other – settlor-equivalent	809
CP of legal person – senior managing official	803	CP of legal arrangement – other – trustee-equivalent	810
CP of legal arrangement – trust – settlor	804	CP of legal arrangement – other – protector-equivalent	811
CP of legal arrangement – trust – trustee	805	CP of legal arrangement – other – beneficiary-equivalent	812
CP of legal arrangement – trust – protector	806	CP of legal arrangement – other – other-equivalent	813
CP of legal arrangement – trust – beneficiary	807		

#### 6.1.7. Declaration and Signature

**The account holder declares by its signature of this self certification form that the above information is true, complete and accurate and undertakes to advise the recipient ( the Fund/ the Company and the Registrar) promptly and provide an updated Self- Certification form within 30 days of any change in circumstances occurring, which causes any of the information contained in this form to be inaccurate or incomplete.**

The account holder understands that the information supplied by them is covered by the full provisions of the General Terms and Conditions governing the Account Holder's relationship with the Fund/ the Company , setting out how the Fund/ the Company or the Registrar may use and share the information supplied by them. The account holder acknowledges, in particular, that the information provided is subject to the General Terms and Conditions.

Further, the account holder acknowledges that the information contained in this form and information regarding the Account Holder/controlling person(s) and any Reportable Account(s) may be provided to the tax authorities of the country in which this account(s) is / are maintained and exchanged with tax authorities of another country or countries in which the Account Holder may be tax resident pursuant to intergovernmental agreements regarding the exchange of financial account information, or otherwise where required by law.

The consent to the communication of the relevant information set out in the foregoing paragraph will be valid for as long as the Entity is a customer of the Fund/Company maintaining the account(s) and beyond in order to enable the Fund/Company and the Registrar maintaining the account(s) to fulfil its statutory obligations.

The applicant(s) will indemnify upon first demand the Fund, the Company, the Registrar or any other agent used by them against any actions, proceedings, claims, losses, damages, costs and expenses which may be brought against, suffered or incurred by them arising either directly or indirectly out of or in connection with a breach by the applicant(s) or out of the Fund, the Company, the Registrar or any other agent used by them relying on, accepting or failing to act on any instruction or declaration or information given by or on behalf of the applicant(s) unless due to the willful default, fraud or gross negligence of the Fund, the Company, the Registrar or any other agent used by them.

Signature Account Holder 1	Signature Account Holder 2 (if any)
Date of signature	Date of signature
Name:	Name:
Title:	Title:

## 7. Origin of the monies invested

If the Account Holder is a regulated financial institution in an equivalent country acting on behalf of third parties, or is covered by a KYC/AML comfort letter from a parent company regulated in an equivalent country, please proceed to Section 8.

### 7.1. Where investing in own name but on behalf of third party:

The Account Holder declares that the origin of the funds used for subscription is coming from:

Retail Customers      Please tick if High Net Worth Customers      Details:

Institutional Customers

Other (please describe):

Main country of origin of Client base:

Signature of the account holder	Signature of the account holder 2
---------------------------------	-----------------------------------

## 8. Expected investment(s) and trade frequency

Please complete the below section with your expectations in terms of investment in the fund. **The expected investments and trade frequency provided will not form any kind of commitment from the account holder, the beneficial owners or the intermediary.**

### 8.1. Expected frequency of trading

Please tick the anticipated frequency of trading:

Single transaction	Daily	Weekly	Monthly	Quarterly	Semi-annual	Annual	Ad-hoc
--------------------	-------	--------	---------	-----------	-------------	--------	--------

### 8.2. Expected investment amount \*

Individuals	By transaction:	Up to EUR 10.000 (or equivalent)	between EUR 10.000 and 50.000 (or equivalent)	over EUR 50.000 (or equivalent)
	Expected Total Investment:	Less than EUR 25.000 (or equivalent)	between EUR 25.000 and 100.000 (or equivalent)	over EUR 100.000 (or equivalent)
Financial Institutions, Insurance Companies, Pension Funds, Investment Funds, Listed Companies	By transaction:	Less than EUR 10 millions (or equivalent)	between EUR 10 millions and 50 millions (or equivalent)	over EUR 50 millions (or equivalent)
	Expected Total Investment:	Less than EUR 10 millions (or equivalent)	between EUR 10 millions and 50 millions (or equivalent)	over EUR 50 millions (or equivalent)
Other types of investors	By transaction:	Less than EUR 1 million (or equivalent)	between EUR 1 million and 10 millions (or equivalent)	over EUR 10 millions (or equivalent)
	Expected Total Investment:	Less than EUR 1 million (or equivalent)	between EUR 1 million and 10 millions (or equivalent)	over EUR 10 millions (or equivalent)

### 8.3. Please provide the ISIN/CUSIP code(s) of the fund for the initial investment:

\* Mandatory information

## 9. Declaration by the account holder

The following declaration is to be signed by each Account Holder:

- Corporate: The declaration must be signed by a legal representative of the company, supported by documentary evidence of the authorisation to sign on behalf of the corporate.
- Intermediary: The declaration must be signed by a legal representative of the intermediary, supported by documentary evidence of the authorisation to act on behalf of the Account Holder.

### The Account Holder:

11.1. declares to be over 18 years old and having full capacity to subscribe, hold and deal in shares of the Fund;	11.5. declares to have received, read, understood and agreed the applicable Key Investor Information document(s) at the time of the signature of this application form related to the share-classes or sub-funds of the Fund.
11.2. understands that its application is subject to verification for receipt and acceptance by the Fund, the Company, the Registrar or any other agent appointed by them;	11.6. declares to agree to provide upon request of the Fund, The Company, the Registrar or any agent they may use, the necessary supporting identification documentation as requested by Luxembourg laws.
11.3. declares and agrees that any further application for shares by it shall be (i) made or be deemed to be made in accordance with the then relevant documentation and (ii) understood as reiteration of all information made herein;	11.7. declares that the information contained in this application form is correct at the time of completion and undertakes to promptly inform the Registrar of any changes.
11.4. hereby confirms that the money or assets invested by it are neither directly nor indirectly the proceeds of any criminal act within the meaning of applicable Luxembourg law.	11.8. <b>declares it has been advised about and taken knowledge of the applicable General Terms and Conditions.</b>

Signature Account Holder 1	Signature Account Holder 2 (if any)
Date of signature	Date of signature
Name:	Name:
Title:	Title:

## APPENDIX 1

### General Terms and Conditions

#### 1. General

**1.1.** These Terms and Conditions relate to the opening of a register account for the purposes of subscription of shares in the Fund. The Fund – if applicable – the Company has delegated to the Registrar the registrar and transfer agent duties. i.e. to maintain and keep the investors register - and the Applicant(s) agree(s) to be bound by these Terms and Conditions in addition to any other official documents issued by the Fund.

**1.2.** The Fund, the Company, the Registrar or any other agent used by them reserves the right to **1.2.1.** reject any application in whole or in part which is not complete, supported by required documentation or for any other reason at their sole discretion.

**1.2.2.** to request additional information and documentation, including, but not limited to, translations and certifications relating to such additional requests from the Applicant(s) and existing investors in compliance with the legislation and regulations in force from time to time.

#### 2. Prevention of Money Laundering and fight of terrorist financing

**2.1.** All Applicants understand that due to the changing nature of laws and regulations and the possible extensions of applicable rules, the Fund, the Company, as well as the Registrar or any other agent used by them may update and amend its procedures as might be required from time to time to comply with such amendments.

**2.2.** In compliance with applicable anti-money laundering laws and regulations, the Fund, the Company, the Registrar or any other agent used by them may require.

**2.2.1.** further information to carry out the required identification of the Applicants or an existing investor before the application can be processed or the redemption proceeds paid out; and

**2.2.2.** the documentation to be renewed in accordance with applicable regulation and market practice.

**2.3.** The Fund, the Company and the Registrar may agree to open accounts upon electronic documentation only to ease the timely subscription to the Fund.

**2.4.** The Fund, the Company and the Registrar reserve the right to charge an Account Holder additional fees, if the Account Holder generates additional costs through non-collaboration for the purposes of this clause.

#### 3. Power of Attorney

**3.1.** Where a Power of Attorney Form is required, an original version must be provided.

#### 4. Indemnity

**4.1.** The Applicant(s) will indemnify upon first demand the Fund, the Company, the Registrar or any other agent used by them against any actions, proceedings, claims, losses, damages, costs and expenses which may be brought against, suffered or incurred by them arising either directly or indirectly out of or in connection with a breach by the Applicant(s) of these Terms and Conditions or out of the Fund, the Company, the Registrar or any other agent used by them relying on, accepting or failing to act on any instruction or declaration or information given by or on behalf of the Applicant(s) unless due to the willful default, fraud or gross negligence of the Fund, the Company, the Registrar or any other agent used by them.

#### 5. Confidentiality, data processing and professional secrecy

**5.1.** The Fund, the Company, the Registrar or any other agent used by them, acting as data controller or as data processor, may process personal data (such as the name, gender, e-mail address, postal address, address, account number) from Applicant(s) in digital form or otherwise in accordance with the EU General Data Protection Regulation for the purpose of managing the business relationship, including the processing of subscriptions and redemption orders, the keeping of shareholders' register of the Company and the provision of financial and other information to the shareholders, and in order to comply with their applicable legal or regulatory obligations, including anti-money laundering or tax reporting obligations (under FATCA, common reporting standard ("CRS") or equivalent legislation e.g. at OECD or EU level).

**5.2.** The Fund, the Company, the Registrar or any other agent used by them will only process personal data on the basis of a contract, legal obligation or legitimate interest.

**5.3.** The Fund, the Company, the Registrar or any other agent used by them will hold any personal information provided by investors in confidence and in accordance with the EU General Data Protection Regulation.

**5.4.** The processing of personal data by the Fund, the Company, the Registrar or any other agent used by them may be required by applicable laws and regulation to provide the Investor Information to tax, supervisory or other authorities in various jurisdictions, in particular those where (i) the Fund is or is seeking to be registered for public or limited offering of

its shares, (ii) investors are resident, domiciled or citizens, (iii) the Fund, as well as, where relevant the Company, the Registrar and those companies to which the Fund, the Company or the Registrar (sub-)delegate distribution or investor servicing duties, the distributors or any other service providers such as representatives or third-party agents is or is seeking to be registered, licensed or otherwise authorised to invest. The Company, the Fund or the Registrar shall not be liable for any consequences resulting from such disclosure.

**5.5.** The processing of personal data by the Fund, the Company, the Registrar or any other agent used by them can imply the transfer to and processing of personal data by affiliated persons or entities that are established in countries outside of the European Union. In this case, a level of protection comparable to that offered by EU laws will be aimed for.

**5.6.** The Applicant(s) mandate(s), authorize(s) and instruct(s) the Investor Information to be disclosed by the Fund, the Company, or any other agent used by them to external parties such as the Fund's sponsor, the Fund's Authorized Distributors or as deemed necessary by the Fund, the Company, the Registrar or any other agent used by them for the provision of enhanced shareholders' related services and, particularly in the case of Registrar, for the delegation of data processing activities as part of its Transfer and Registrar Agent duties. The Applicant(s) further agree(s) to Investor Information (subject to the application of local laws and/or regulations) being used outside Luxembourg, and therefore being potentially subject to the scrutiny of regulatory and tax authorities outside Luxembourg.

**5.7.** The Applicant(s) is/are aware that the Investor Information, once disclosed by the Registrar shall be processed by the recipient under the control of the Registrar and shall not be subject to the Luxembourg professional secrecy and confidentiality standards applicable to the Registrar but to professional secrecy and confidentiality standards applicable to such recipient.

**5.8.** The Applicant(s) is/are aware that, notwithstanding the foregoing, it will be able, at any time, to exercise his rights provided for by the EU General Data Protection Regulation by contacting the Fund, the Company or the Registrar using the contact details mentioned on this Application Form. As such action may affect the existence or continuation of the provision of services by the Fund, the Company, the Registrar or any other agent used by them, the Applicant(s) acknowledge(s) that neither the Fund, the Company, the Registrar nor any other agent used by them will be liable for any loss or damage incurred by the Applicant(s) in the context of such action. The Fund, the Company, will, however reserve the right to redeem the participation of the Applicant(s) to ensure full compliance with the applicable laws and regulations and remain liable for the proper handling and fulfillment of its data protection duties.

**5.9.** In connection with personal data, the Applicant shall inform any relevant individual that data relating to them may be shared as described in this General Terms and Conditions.

#### 6. Document and information retention

**6.1.** The Applicant(s) acknowledge(s) and agree(s) that Investor Information will be held by the Fund, the Company, the Registrar or any other agent used by them and may be subject to data processing.

**6.2.** The Fund, the Company, the Registrar or any other agent used by them will keep the Investor Information at least 10 years during the relationship and 5 years after the end of the relationship between the Applicant(s) and the Fund, unless otherwise required by applicable laws.

#### 7. Instructions

**7.1.** All notices, reports, statements, documents and communications will be sent at the risk of the Applicant(s) by ordinary mail or where otherwise specified by Luxembourg legislation or the Fund's constitutional documents, by registered mail to the address of the First Applicant unless otherwise specified by the Applicant(s) in writing. The Applicant(s) assume(s) all risks and in particular those arising from delays in delivery including but not limited to errors in communication. The Applicant(s) hold(s) harmless the Fund, the Company, the Registrar or any other agent used by them of all responsibility in this respect.

**7.2.** Where you have opted to receive account statements, contract notes and dividend advices by way of electronic message, you understand that Robeco has instructed and authorised J.P. Morgan Bank SE (acting as data processor) to send such documentation by way of electronic message via its agent, Victor Buck Services S.A. (acting as sub-data processor) to your email address or the email address of your financial adviser that you have supplied above. You further accept that email communication is not a secure medium or error free, privacy cannot be assured and that emails can contain viruses or other defects and may be delayed. Neither Robeco, J.P. Morgan Bank SE nor its agent Victor Buck Services S.A. will be responsible for any such occurrences nor for any damages you may suffer by transmitting personal or confidential information to you as requested. You further agree that the sender

may monitor, record, transfer cross border and retain electronic messages.

- 7.3. All notices, reports, statements, documents and communications sent to the address of the first Applicant are deemed to have been effected to all the Applicants on the date sent to the first Applicant's address.
- 7.4. Instructions may be given by letter or facsimile and are at the risk of the Applicant(s). The Applicant(s) assume(s) all risks and in particular those arising from delays in delivery, errors in communication, or comprehension, including but not limited to, errors as to the information contained in the instruction. The Applicant(s) hold(s) harmless the Fund, the Company, the Registrar or any other agent used by them of all responsibility in this respect.
- 7.5. The Applicant(s) specifically agree(s) that for instructions sent by fax he/they hold the Fund, the Company, the Registrar or any other agent used by them fully indemnified from and against all liabilities, losses, costs, actions, proceedings, claims and demands which may be incurred by or brought or made against the Fund, the Company, the Registrar or any other agent used by them arising directly or indirectly from having acted upon such instructions.
- 7.6. In case the application form is sent by fax, the original must also be sent to the Fund, the Company, the Registrar or any other agent used by them.
- 7.7. A fax authority is not sufficient for notifications of change of name, notification of death, deed of pledges and appointment of an attorney or any other notification or instruction where original documentation is required to be sent by post to the Fund, the Company, the Registrar or any other agent used by them.
- 7.8. The Applicant(s) shall check the accuracy of the details contained in the contract notes and statements of accounts sent by the Fund, the Company, the Registrar or any other agent used by them. Failure to report any inaccuracy within 30 business days of their dispatch will result in the confirmation details to be deemed accurate by the Applicant(s).

#### **8. Telephone Recording**

- 8.1. The Applicant(s) specifically accept(s) that telephone-recording procedures may be used by the Fund, the Company, the Registrar or any other agent used by them and agree(s) that these records may be used in court or any legal proceeding, with the same value as written evidence.

#### **9. Fraudulent use of signature**

- 9.1. Neither the Fund, the Company, the Registrar or any other agent used by them shall be liable for the fraudulent use by a third party of the Applicant's signature, whether this signature be authentic or forged ("Fraudulent Instruction").
- 9.2. Except in the event of gross negligence on the part of the Fund, the Company, the Registrar or any other agent used by them in the verification of the signatures and signatory powers on the documentation, the Fund, the Company, the Registrar or any other agent used by them shall not be liable for any damage, loss, expense or liability of any nature which the Applicant(s) may suffer due to the reliance by the Fund, the Company, the Registrar or any other agent used by them on a Fraudulent Instruction which the Fund, the Company, the Registrar or any other agent used by them believe in good faith to be genuine and to have been given or signed by the Applicant(s).

#### **10. Severance**

- 10.1. If any provision or clause of these Terms and Conditions is or becomes void or unenforceable in whole or in part for any reason such enforceability or invalidity shall not affect the validity of the remaining terms and conditions. Terms and Conditions corresponding in sense must replace the invalid terms and conditions.

#### **11. Applicable law**

- 11.1. The laws of the Grand Duchy of Luxembourg shall govern the validity and construction of these Terms and Conditions and the parties agree to be bound by the exclusive jurisdiction of the courts of Luxembourg City, Grand Duchy of Luxembourg.

#### **12. Final Provision**

- 12.1. These Terms and Conditions form an integral part of the Application and Account Opening Form, which Applicant(s) declare(s) having accepted by signing this Application and Account Opening Form.

#### **13. Holding, processing and disclosure of Investor Data by the administrative agent**

- 13.1. By subscribing for shares in the Fund, the Investor: (i) acknowledges that authorities (including regulatory or governmental authorities) or courts in a jurisdiction (including jurisdictions where the Authorised Entities are established or hold or process Investor Data) may obtain access to Investor Data held or processed in such jurisdiction or access through automatic reporting, information exchange or otherwise in accordance with the applicable laws and regulations, and (ii) mandates, authorises and instructs J.P. Morgan SE and the Authorised Entities to disclose or make available Investor Data to such authorities or courts,

to the extent required by the applicable laws and regulations.

- 13.2. The purpose of the holding and processing of Investor Data by, and the disclosure to and within the Authorised Entities, is to enable the processing for the Permitted Purposes. By subscribing for shares in the Fund the Investor acknowledges that such disclosure of Investor Data is in order for it to be held and/or processed by Authorised Entities inside or outside Luxembourg.
- 13.3. Subject to the foregoing J.P. Morgan SE shall inform the Authorised Entities which hold or process Investor Data (a) to do so only for the Permitted Purposes and in accordance with applicable laws, and (b) that access to such Investor Data within an Authorised Entity is limited to those persons who need to know the Investor Data for the Permitted Purposes.
- 13.4. In this application form: "Authorised Entities" means any of: (a) J.P. Morgan Chase Bank, N.A., an entity established in the United States of America, J.P. Morgan Bank (Ireland) plc, an entity established in the Republic of Ireland, J.P. Morgan Europe Limited, an entity established in the United Kingdom, J.P. Morgan Services India Private Limited, an entity established in the Republic of India, and/or any other entity within the JP Morgan Chase group of companies worldwide, the ultimate holding company of which is JP Morgan Chase Bank N.A. ("JP Morgan Group") that may be contracted from time to time by J.P. Morgan SE to facilitate its provision of services to the Fund; (b) the Fund, the management company, the custodian and the investment manager(s) of the Fund (the "Manager") and their respective agents, delegates and/or service providers contracted from time to time to facilitate the provision of services to the Fund; (c) a firm in Luxembourg that is engaged in the business of providing client communication services to professionals of the financial sector; or (d) a third party in the United Kingdom engaged in the provision of transfer agency software and technology solutions; "Investor Data" means investor identifying confidential information received by J.P. Morgan SE in its capacity as service provider for the Fund, whether received from the Investor, the Manager, the Fund, or a third party on behalf of any of them; and "Permitted Purposes" means any of the following purposes: (a) the opening of accounts, including the processing and maintenance of anti-money laundering/counterterrorism financing/know-your-client records; (b) the processing of subscriptions, payments, redemptions and switches in holdings made by or for the Investor; (c) maintaining the account records of the Investor and providing and maintaining the register of the Fund; (d) any ancillary or related functions or activities necessary for the performance of the Permitted Purposes and/or to J.P. Morgan SE's provision of fund administration, paying agency, transfer agency and other related services to the Fund, and (e) global risk management within the J.P. Morgan Group (as appropriate), including by retaining Investor Data as reasonably required to keep a proof of a transaction or related communications.

## APPENDIX 2a

### Ultimate Economic Beneficiary information for all entity types apart from Trusts, Foundations & Similar legal arrangements

**Please note this declaration is applicable to all entity types, including Listed Entities, Regulated Financial Institutions, Regulated Nominees and subsidiaries of Regulated Financial Institution or Listed Entities. For Trusts, Foundations and similar legal arrangements, please refer to Appendix 2b.**

Investors full name:

Fund name:

Account number (if existing investor):

Please tick one of the below boxes and complete the relevant section in block capitals. Please note that sections 2, 3 and 4 are not alternative options but cascading measures. **Section 4 must only be completed if section 2 and 3 do not apply.**

I/we confirm that the investing entity is a company whose shares are admitted to trading on a Regulated Market\*. Please complete section 1 of this declaration. (This does not apply to subsidiaries, including wholly owned).

I/we confirm there is a natural person(s) who ultimately owns or controls (directly or indirectly) equal or greater than 25% of the value of the shares, voting rights or ownership in the investing entity, including through bearer shares. Please complete section 2 of this declaration.

I/we confirm there is a natural person(s) who control(s) the investing entity by other means. Please complete section 3 of this declaration.

I/we confirm there is no natural person(s) who ultimately owns or controls (directly or indirectly) equal or greater than 25% of the value of the shares, voting rights or ownership in the investing entity, including through bearer shares or through control by other means. Please complete section 4 of this declaration.

#### Section 1: Listed on a Regulated Market

Country in which the entity is traded:

Full name of the regulated market:

Stock exchange identifier:

\* Listed companies on a regulated market in the European Union, the European Economic Area, or in another third country that imposes obligations recognised as equivalent by the European Commission need only to disclose on which market they are listed as per EU Directive 2004/109/CE requirements.

Please tick one of the below boxes:

I/we hereby confirm I/we are investing on our own behalf and I am/we are the ultimate beneficial owner of the funds.

I/we hereby confirm that I/we are investing on behalf of a third party/ies who is/are the ultimate beneficial owners of the funds.

Where acting as an intermediary/nominee, please also complete the AML representation letter in Appendix 2.

## Section 2: Control by Ownership

Beneficial Owner 1

Surname	First name(s)
Date of birth (DD-MM-YYYY)	Nationality
Place of birth	
Percentage Ownership	
Residential Address*	
Street and number	City / Town
Postcode / Zipcode	Country
Identification number	

\* P.O. Box and "in care of" addresses are not valid registered addresses and are only acceptable for mailing purposes.

Beneficial Owner 2

Surname	First name(s)
Date of birth (DD-MM-YYYY)	Nationality
Place of birth	
Percentage Ownership	
Residential Address*	
Street and number	City / Town
Postcode / Zipcode	Country
Identification number	

\* P.O. Box and "in care of" addresses are not valid registered addresses and are only acceptable for mailing purposes.

If needed, please add additional beneficial owners on a separate sheet.

**Please provide a certified true copy of a valid passport or government issued ID for the individual(s) named in Section 2.**

## Section 3: Control by other means

Surname	First name(s)
Date of birth (DD-MM-YYYY)	Nationality
Place of birth	
Residential Address*	
Street and number	City / Town
Postcode / Zipcode	Country
Identification number	

\* P.O. Box and "in care of" addresses are not valid registered addresses and are only acceptable for mailing purposes.

If needed, please add additional beneficial owners on a separate sheet. Please provide below an explanation on how the control is derived such as for example through a shareholder's agreement, the exercise of dominant influence or the power to appoint senior management. Please note depending on the details provided we may require further information or documentation.

**Please provide a certified true copy of a valid passport or government issued ID for the individual(s) named in Section 3.**

#### **Section 4: Control Senior Managing Official (SMO)**

In the event that section 2 or 3 above do not apply, a Senior Managing Official\* will be recorded as the "Ultimate Beneficial Owner – Senior Managing Official", as defined in Directive (EU) 2015/849. This will apply at investing entity level in whose name the shares are registered. Where a collegial or jointly responsible body is in charge, details of more than one Senior Managing Official may be detailed below.

In completing the below, we confirm we have read and understood the definition of Senior Managing Official and we have provided below details of a Senior Managing Official who should be recorded as the "Ultimate Beneficial Owner – Senior Managing Official (SMO)".

##### Senior Managing Official 1

Surname	First name(s)
Date of birth (DD-MM-YYYY)	Nationality
Place of birth	
Business Address*	
Street and number	City / Town
Postcode / Zipcode	Country
Identification number	
Name of Company	Position in company

\* P.O. Box and "in care of" addresses are not valid registered addresses and are only acceptable for mailing purposes.

##### Senior Managing Official 2

Surname	First name(s)
Date of birth (DD-MM-YYYY)	Nationality
Place of birth	
Business Address*	
Street and number	City / Town
Postcode / Zipcode	Country
Identification number	
Name of Company	Position in company

\* P.O. Box and "in care of" addresses are not valid registered addresses and are only acceptable for mailing purposes.

If needed, please add additional beneficial owners on a separate sheet.

**Please provide a certified true copy of a valid passport or government issued ID for the individual(s) named in Section 4.**

\* Senior Managing Official means any natural person(s) responsible for strategic decisions that fundamentally affect the business practices or general direction of the legal entity and any natural person(s) who exercises executive control over the daily and regular business of the legal entity through a senior management position, such as Director, Chief Executive Officer (CEO), Chief Financial Officer (CFO), Managing or Executive Director, President or Chairman.

**Please ensure you have provided a certified true copy of a valid passport or government issued ID for any individual(s) named in Sections 2, 3 or 4.**

We, the undersigned, confirm that the above information accurately reflects all details relating to the beneficial owners of the investing entity. Should this information change we confirm that we will promptly notify J.P. Morgan Bank SE as appointed Transfer Agent of the fund immediately. We confirm that where the above information includes details of a senior manager, the individual(s) is aware their personal information has been provided and will be recorded by J.P. Morgan Bank SE. in accordance with our privacy policy available at [www.jpmorgan.com/privacy/EMEA](http://www.jpmorgan.com/privacy/EMEA).

---

Authorised Signer's signature\*

Full Name:  
Title:  
Date:

---

Authorised Signer's signature\*

Full Name:  
Title:  
Date:

**\*This form should be signed in accordance with the investors Authorised Signatory List.**

## APPENDIX 2b

### Ultimate Economic Beneficiary information for Trusts, Foundations & Similar legal arrangements

Tick this box if this declaration is to apply to all new and existing accounts, including those with a designation and state 'all' in the above account number field. Where investments are held in a number of differing funds where J.P. Morgan Bank S.A. acts as transfer agent, please state 'all' in the above name of the fund holding the investment.

#### Section 1: Protector(s)

Please tick one of the below boxes:

I/we hereby confirm I/we are investing on our own behalf and I am/we are the ultimate beneficial owner of the funds  
I/we hereby confirm that I/we are investing on behalf of a third party/ies who is/are the ultimate beneficial owners of the funds.  
I/we confirm there is no protector  
I/ we confirm there is a protector (please complete the below information)

Surname	First name(s)
Date of birth (DD-MM-YYYY)	Nationality
Place of birth	
Residential Address*	
Street and number	City / Town
Postcode / Zipcode	Country
Identification number	

\* P.O. Box and "in care of" addresses are not valid registered addresses and are only acceptable for mailing purposes.

**If needed, please add additional beneficial owners on a separate sheet. Please provide a certified true copy of a valid passport or government issued ID for any individual named in Section 1.**

#### Section 2: Settlor

Surname	First name(s)
Date of birth (DD-MM-YYYY)	Nationality
Place of birth	
Residential Address*	
Street and number	City / Town
Postcode / Zipcode	Country
Identification number	

\* P.O. Box and "in care of" addresses are not valid registered addresses and are only acceptable for mailing purposes.

**If needed, please add additional beneficial owners on a separate sheet. Please provide a certified true copy of a valid passport or government issued ID for any individual named in Section 2.**

**Please tick below if the settlor(s) has deceased (no ID will be required).**

I/we confirm the settlor is deceased

### Section 3: Trustee(s)

Individual Trustee 1

Surname	First name(s)
Date of birth (DD-MM-YYYY)	Nationality
Place of birth	
Residential Address*	
Street and number	City / Town
Postcode / Zipcode	Country
Identification number	

\* P.O. Box and "in care of" addresses are not valid registered addresses and are only acceptable for mailing purposes.

Individual Trustee 2

Surname	First name(s)
Date of birth (DD-MM-YYYY)	Nationality
Place of birth	
Residential Address*	
Street and number	City / Town
Postcode / Zipcode	Country
Identification number	

\* P.O. Box and "in care of" addresses are not valid registered addresses and are only acceptable for mailing purposes.

Corporate Trustee 1

Full Name of the Legal Entity	First name(s)
Place of incorporation	Nationality
Date of Incorporation	
Business Address*	
Street and number	City / Town
Postcode / Zipcode	Country
Identification number	

\* P.O. Box and "in care of" addresses are not valid registered addresses and are only acceptable for mailing purposes.

**If needed, please add additional beneficial owners on a separate sheet. Please provide a certified true copy of a valid passport or government issued ID for any individual(s) named in Section 3. If a Corporate entity, further documents will be required.**

#### Section 4: Beneficiary(ies)

##### Beneficiary 1

Surname	First name(s)
Date of birth (DD-MM-YYYY)	Nationality
Place of birth	
Business Address*	
Street and number	City / Town
Postcode / Zipcode	Country
Identification number	
Name of Company	Position in company

\* P.O. Box and "in care of" addresses are not valid registered addresses and are only acceptable for mailing purposes.

##### Beneficiary 2

Surname	First name(s)
Date of birth (DD-MM-YYYY)	Nationality
Place of birth	
Business Address*	
Street and number	City / Town
Postcode / Zipcode	Country
Identification number	
Name of Company	Position in company

\* P.O. Box and "in care of" addresses are not valid registered addresses and are only acceptable for mailing purposes.

##### Beneficiary 3

Surname	First name(s)
Date of birth (DD-MM-YYYY)	Nationality
Place of birth	
Business Address*	
Street and number	City / Town
Postcode / Zipcode	Country
Identification number	
Name of Company	Position in company

\* P.O. Box and "in care of" addresses are not valid registered addresses and are only acceptable for mailing purposes.

##### Beneficiary 4

Surname	First name(s)
Date of birth (DD-MM-YYYY)	Nationality
Place of birth	
Business Address*	
Street and number	City / Town
Postcode / Zipcode	Country
Identification number	
Name of Company	Position in company

\* P.O. Box and "in care of" addresses are not valid registered addresses and are only acceptable for mailing purposes.

In the event all beneficiaries have not been designated please provide below the category of persons for which the trust or Foundation is to benefit.

**If needed, please add additional beneficial owners on a separate sheet. Please provide a certified true copy of a valid passport or government issued ID for any individual(s) named in Section 4.**

**Section 5: Control by other means\***

I/we confirm there is no other natural person exercising ultimate control or influence over the legal arrangement by means of direct or indirect ownership or by any other means,

I/we confirm there is another natural person exercising ultimate control or influence over the legal arrangement by means of direct or indirect ownership or by any other means (please complete the below section)

**\* for example through a shareholder's agreement, the exercise of dominant influence or the power to appoint senior management**

Surname	First name(s)
Date of birth (DD-MM-YYYY)	Nationality
Place of birth	
Residential Address*	
Street and number	City / Town
Postcode / Zipcode	Country
Identification number	

\* P.O. Box and "in care of" addresses are not valid registered addresses and are only acceptable for mailing purposes.

Please provide below an explanation on how the control is derived. Please note depending on the details provided we may require further information or documentation.

We, the undersigned, confirm that the above information accurately reflects all details relating to the beneficial owners of the subscribing entity. Should this information change we confirm that we will notify J.P. Morgan Bank SE as appointed Transfer Agent of the fund immediately. We confirm, the individuals listed are aware their information has been provided and will be recorded by J.P. Morgan Bank SE in accordance with our privacy policy available at [www.jpmorgan.com/privacy/EMEA](http://www.jpmorgan.com/privacy/EMEA).

---

Authorised Signer's signature

Full Name:  
Title:  
Date:

---

Authorised Signer's signature

Full Name:  
Title:  
Date:

**This form should be signed by the Trustee(s) or equivalent.**

## APPENDIX 2c

### Ultimate Beneficial Ownership Declaration for: Power of Attorney holder or Third-party payments beneficiary

Entity's full legal name (as per legal documentation):
Fund name (please specify "all accounts and all Fund promoters" if applicable):

This form supports Luxembourg law requirements under CSSF Regulation 12-02 of 14 December 2012 as amended, to identify and take reasonable measures to verify the identity of the Ultimate Beneficial Owners of persons purporting to act on the account and/or any third-party payment beneficiary. Please note that:

- This declaration is applicable to all entity types, including but not limited to, Listed Entities, Regulated Financial Institutions, Regulated Nominees and subsidiaries of Regulated Financial Institution or Listed Entities.
- Declared Ultimate Beneficial Owner(s) or Senior Managing Officials will not be considered as Ultimate Beneficial Owner(s) of the registered account(s)/asset(s) but only with respect to the above-mentioned entity.

Please tick one of the below boxes and complete the relevant section in block capitals. Please note that sections 2, 3 and 4 are not alternative options but cascading measures. Section 4 must only be completed if section 2 and 3 do not apply.

I/we confirm that the entity is a company whose shares are admitted to trading on a Regulated Market as per note <sup>1</sup> below. Please complete section 1 of this declaration. (This does not apply to subsidiaries, including wholly owned).

I/we confirm there is a natural person(s) who ultimately owns or controls (directly or indirectly) equal or greater than 25% of the value of the shares, voting rights or ownership in the entity, including through bearer shares. Please complete section 2 of this declaration.

I/we confirm there is a natural person(s) who control(s) the entity by other means. Please complete section 3 of this declaration.

I/we confirm there is no natural person(s) who ultimately owns or controls (directly or indirectly) equal or greater than 25% of the value of the shares, voting rights or ownership in the entity, including through bearer shares or through control by other means. Please complete section 4 of this declaration.

#### Section 1: Listed on a Regulated Market

Country in which the entity is traded:

Full name of the regulated market:

Stock exchange identifier:

#### Section 2: Control by Ownership

Beneficiary 1

Surname	First name(s)
Date of birth (DD-MM-YYYY)	Nationality
Place of birth (city/town)	
Percentage Ownership	
Full residential Address (PO or C/O will not be accepted)	
Street and number	City / Town
Postcode / Zipcode	Country
Identification number	

<sup>1</sup> Listed companies on a regulated market in the European Union, the European Economic Area, or in another third country that imposes obligations recognised as equivalent by the European Commission need only to disclose on which market they are listed as per EU Directive 2004/109/EC requirements.

**Beneficiary 2**

Surname	First name(s)
Date of birth (DD-MM-YYYY)	Nationality
Place of birth (city/town)	
Percentage Ownership	
Full residential Address (PO or C/O will not be accepted)	
Street and number	City / Town
Postcode / Zipcode	Country
Identification number	

If needed, please add additional beneficial owners on a separate sheet, providing the same details as above for each individual.

**Section 3: Control by other means**

Surname	First name(s)
Date of birth (DD-MM-YYYY)	Nationality
Place of birth (city/town)	
Full residential Address (PO or C/O will not be accepted)	
Street and number	City / Town
Postcode / Zipcode	Country
Identification number	

Please provide below an explanation on how the control is derived such as, for example through a shareholder's agreement, the exercise of dominant influence or the power to appoint senior management. Please note depending on the details provided we may require further information or documentation.

**Section 4: Control Senior Managing Official (SMO)**

In the event that sections 2 or 3 above do not apply, a Senior Managing Official\* will be recorded as the "Ultimate Beneficial Owner – Senior Managing Official", as defined in Directive (EU) 2015/849. This will apply at legal entity level for this declaration. Where a collegial or jointly responsible body is in charge, details of more than one Senior Managing Official may be detailed below. Where a collegial or jointly responsible body is in charge, more than one senior managing official can be designated as UBO.

In completing the below, we confirm we have read and understood the definition of Senior Managing Official and we have provided below details of a Senior Managing Official who should be recorded as the "Ultimate Beneficial Owner – Senior Managing Official (SMO)".

## Senior Managing Official 1

Surname	First name(s)
Date of birth (DD-MM-YYYY)	Nationality
Place of birth (city/town)	
Full business Address (PO or C/O will not be accepted)	
Street and number	City / Town
Postcode / Zipcode	Country
Identification number	
Name of Company (entity being the Power of Attorney holder or third party payment beneficiary)	Position in company

\* Senior Managing Official means any natural person(s) responsible for strategic decisions that fundamentally affect the business practices or general direction of the legal entity and any natural person(s) who exercises executive control over the daily and regular business of the legal entity through a senior management position within the legal entity, such as Director, Chief Executive Officer (CEO), Chief Financial Officer (CFO), Managing or Executive Director, President or Chairman.

Senior Managing Official 2

Surname	First name(s)
Date of birth (DD-MM-YYYY)	Nationality
Place of birth (city/town)	
Full business Address (PO or C/O will not be accepted)	
Street and number	City / Town
Postcode / Zipcode	Country
Identification number	
Name of Company (entity being the Power of Attorney holder or third party payment beneficiary)	Position in company

If needed, please add additional beneficial owners on a separate sheet, providing the same details as above for each individual.

As applicable, please provide the following pdf copy documents for any individual(s) named in Sections 2, 3 or 4:

- Valid authentic official identification document issued by a public authority e.g. passport, ID, resident permit, driving license or any other similar document which bears a signature and photograph.
- Proof of address (business address acceptable for Senior Managing Officials only)
  - J.P. Morgan SE Luxembourg Branch, acting as Transfer Agent will verify the details through evidencing documents received or through independent and reliable sources. Where this cannot be achieved further documents may be required.
- Proof of address (residential address to be provided for Ultimate Beneficial Owner(s), controlling entity by ownership or by other means) dated within the past 3 months. This can be in the form of the following:
  - Utility bill e.g. electricity, gas, water
  - Bank statement
  - Council tax / commune bill
  - Insurance document e.g. house or car insurance
  - Government-issued letter e.g. relating to tax.

Please note there may be instances where the above documents require certification. Where this is required J.P. Morgan SE, Luxembourg Branch will advise accordingly.

We, the undersigned, confirm that the above information accurately reflects all details relating to the beneficial owners of the entity. Should this information change we confirm that we will promptly notify J.P. Morgan SE, Luxembourg Branch as appointed Transfer Agent of the Fund immediately. We confirm that where the above information includes details of a senior manager, the individual(s) is aware their personal information has been provided and will be recorded by J.P. Morgan SE, Luxembourg Branch in accordance with our privacy policy available at [www.jpmorgan.com/privacy/EMEA](http://www.jpmorgan.com/privacy/EMEA).

Authorised Signer's signature

Authorised Signer's signature

Full Name:

Full Name:

Title:

Title:

Date:

Date:

**This form should be signed by Compliance; MLRO or an Authorised Signatory(ies) (\*)**

\* Where signed by an authorised signatory the individual(s) must be detailed on the Authorised Signatory List

## APPENDIX 3

### Institutional Investor Self-Declaration

In accordance with the Fund prospectus, before an investment into an Institutional Share class ("I" shares) is accepted by the fund, it is mandatory to confirm which investor profile matches your status. Please only tick one applicable box below:

Institutional Investors *stricto sensu*, such as banks and other professionals of the financial sector, insurance and reinsurance companies, social security institutions and pension funds, charitable institutions, industrial commercial and financial group companies, all subscribing on their own behalf, and the structures which such Institutional Investors put into place for the management of their own assets.

Credit institutions and other professionals of the financial sector investing in their own name but on behalf of Institutional Investors as defined under point 1. above.

Credit institutions and other professionals of the financial sector established in Luxembourg or abroad which invest in their own name but on behalf of their non institutional clients on the basis of a discretionary management mandate.

Collective investment undertakings established in Luxembourg or abroad.

Holding companies or similar entities, whether Luxembourg based or not, whose shareholders are Institutional Investors as described in the foregoing paragraphs.

Holding company or similar entities, whether Luxembourg based or not, whose shareholder(s)/beneficial owner(s) is (are) individual person(s) which is (are) extremely wealthy and may reasonably be regarded as sophisticated investor(s) and where the purpose of the holding company is to hold important financial interests/investments for an individual or a family.

A holding company or similar entity, whether Luxembourg based or not, which as a result of its structure and activity has a true substance and holds important financial interests/investments.

Or

None of the above (not eligible to hold Institutional Share Classes)

#### Please confirm your details:

Registered Company Name:	Registered Company Address:
Contact Name:	Name of underlying investor (if applicable)

I declare by signing this certification form that the above information is true, complete and accurate. Furthermore, I undertake to inform Robeco should there be any change in investor profile. I understand that, should the investor profile change the eligibility to hold an Institutional Share Class, Robeco will be required to convert any "I" shares to "D" shares.

Signature of the account holder
Date and place of signature
Print Name:

## APPENDIX 4

### FATCA Notes\*

Active Non Financial Foreign Entity (NFFE)	<p>The term Active NFFE means any NFFE which meets any of the following criteria:</p> <ol style="list-style-type: none"> <li>Less than 50 per cent of the NFFE's gross income for the preceding calendar year or other appropriate reporting period is passive income and less than 50 per cent of the assets held by the NFFE during the preceding calendar year or other appropriate reporting period are assets that produce or are held for the production of passive income;</li> <li>The stock of the NFFE is regularly traded on an established securities market or the NFFE is a Related Entity of an Entity the stock of which is regularly traded on an established securities market;</li> <li>The NFFE is organized in a U.S. Territory and all of the owners of the payee are bona fide residents of that U.S. Territory;</li> <li>The NFFE is a government (other than the U.S. government), a political subdivision of such government (which, for the avoidance of doubt, includes a state, province, county, or municipality), or a public body performing a function of such government or a political subdivision thereof, a government of a U.S. Territory, an international organization, a non-U.S. central bank of issue, or an Entity wholly owned by one or more of the foregoing;</li> <li>Substantially all of the activities of the NFFE consist of holding (in whole or in part) the outstanding stock of, or providing financing and services to, one or more subsidiaries that engage in trades or businesses other than the business of a Financial Institution, except that an NFFE shall not qualify for this status if the NFFE functions (or holds itself out) as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund, or any investment vehicle whose purpose is to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes;</li> <li>The NFFE is not yet operating a business and has no prior operating history, but is investing capital into assets with the intent to operate a business other than that of a Financial Institution, provided that the NFFE shall not qualify for this exception after the date that is 24 months after the date of the initial organization of the NFFE;</li> <li>The NFFE was not a Financial Institution in the past five years, and is in the process of liquidating its assets or is reorganizing with the intent to continue or reconstitute operations in a business other than that of a Financial Institution;</li> <li>The NFFE primarily engages in financing and hedging transactions with, or for, Related Entities that are not Financial Institutions, and does not provide financing or hedging services to any Entity that is not a Related Entity, provided that the group of any such Related Entities is primarily engaged in a business other than that of a Financial Institution;</li> <li>The NFFE is an "exempted NFFE" as described in relevant U.S. Treasury Regulations (This category includes essentially certain retirement funds); or</li> <li>The NFFE meets all of the following requirements:           <ol style="list-style-type: none"> <li>It is established and operated in its jurisdiction of residence exclusively for religious, charitable, scientific, artistic, cultural, athletic, or educational purposes; or it is established and operated in its jurisdiction of residence and it is a professional organization, business league, chamber of commerce, labour organization, agricultural or horticultural organization, civic league or an organization operated exclusively for the promotion of social welfare;</li> <li>It is exempt from income tax in its jurisdiction of residence;</li> <li>It has no shareholders or members who have a proprietary or beneficial interest in its income or assets;</li> <li>The applicable laws of the NFFE's jurisdiction of residence or the NFFE's formation documents do not permit any income or assets of the NFFE to be distributed to, or applied for the benefit of, a private person or non-charitable Entity other than pursuant to the conduct of the NFFE's charitable activities, or as payment of reasonable compensation for services rendered, or as payment representing the fair market value of property which the NFFE has purchased; and</li> <li>The applicable laws of the NFFE's jurisdiction of residence or the NFFE's formation documents require that, upon the NFFE's liquidation or dissolution, all of its assets be distributed to a governmental entity or other non-profit organization, or escheat to the government of the NFFE's jurisdiction of residence or any political subdivision thereof.</li> </ol> </li> </ol>
Deemed-compliant FFI	<p>The term deemed-compliant FFI means,</p> <p>Under the IRS Regulations:</p> <ol style="list-style-type: none"> <li>A registered deemed-compliant FFI</li> <li>A certified deemed-compliant FFI</li> <li>An owner-documented FFI</li> <li>A QI branch of a U.S. financial institution that is a reporting FFI under IGA Model 1</li> </ol> <p>Under the Luxembourg IGA (concerning investments funds)</p> <ol style="list-style-type: none"> <li>Sponsored Investment Entity and Sponsored Controlled Foreign Corporation</li> <li>Sponsored, Closely Held Investment Vehicle</li> <li>Investment Advisors and Investment Managers</li> <li>Collective Investment Vehicles</li> <li>Restricted Fund</li> </ol>
Exempt Beneficial owner	<p>The following Entities shall be treated as Exempt Beneficial Owners:</p> <ol style="list-style-type: none"> <li>Exempt Beneficial Owners other than Funds.           <ol style="list-style-type: none"> <li>Governmental Entity.</li> <li>International Organization.</li> <li>Central Bank.</li> </ol> </li> <li>Funds that Qualify as Exempt Beneficial Owners           <ol style="list-style-type: none"> <li>Treaty-Qualified Retirement Fund</li> <li>Broad Participation Retirement Fund</li> <li>Narrow Participation Retirement Fund</li> <li>Pension Fund of an Exempt Beneficial Owner</li> <li>Investment Entity Wholly Owned by Exempt Beneficial Owners</li> </ol> </li> </ol> <p>Under the Luxembourg IGA, with respect to funds:</p> <ol style="list-style-type: none"> <li>SEPCAVs</li> <li>ASSEPs,</li> <li>Pension funds subject to the supervision of the Commissariat aux Assurances.</li> <li>Investment Entity Wholly Owned by Exempt Beneficial Owners</li> </ol>
Financial Institution (FI)	The term "Financial Institution" means a Custodial Institution, a Depository Institution, an Investment Entity, or a Specified Insurance Company.
Foreign Financial Institution (FFI)	The term Participating FFI means a Financial Institution that has agreed to comply with the requirements of an FFI agreement, including a Financial Institution described in a Model 2 IGA that has agreed to comply with the requirements of an FFI Agreement. The term Participating FFI also includes a qualified intermediary branch of a Reporting U.S. Financial Institution, unless such branch is a Reporting Model 1 FFI.
Investment Entity	<p>The term Investment Entity means any entity that primarily conducts as a business (or is managed by an entity that conducts as a business) one or more of the following activities or operations for or on behalf of a customer:</p> <ol style="list-style-type: none"> <li>trading in money market instruments (cheques, bills, certificates of deposit, derivatives, etc.); foreign exchange; exchange, interest rate and index instruments;</li> <li>transferable securities; or commodity futures trading;</li> <li>individual and collective portfolio management; or</li> <li>otherwise investing, administering, or managing funds or money on behalf of other persons.</li> </ol> <p>5) This term shall be interpreted in a manner consistent with similar language set forth in the definition of "financial institution" in the Financial Action Task Force Recommendations.</p>
Non-Participating Financial Institution	<p>The term "Non-Participating Financial Institution" means an FI, which is neither a Participating FFI, nor a Deemed Compliant FFI, nor an Exempt Beneficial Owner. The definition includes a Luxembourg Financial Institution or other Partner Jurisdiction</p> <p>Financial Institution treated as a Non-participating Financial Institution pursuant to subparagraph 2(b) of Article 5 of the Luxembourg IGA or the corresponding provision in an agreement between the United States and a Partner Jurisdiction. Pursuant to subparagraph 2(b) of Article 5 of the Luxembourg IGA, a Non-participating Financial Institution is a Financial Institution that has not solved its non-compliance within a period of 18 months after notification of significant non-compliance is first provided.</p>
Non-Reporting Financial Institution	The term "Non-Reporting Financial Institution" means any Financial Institution, or other Entity resident in a FATCA partner jurisdiction that is described in Annex II as a Non-Reporting Financial Institution or that otherwise qualifies as a deemed-compliant FFI or an exempt beneficial owner under relevant U.S. Treasury Regulations in effect on the date of signature of the relevant Intergovernmental Agreement.
Participating FFI	The term Participating FFI means a Financial Institution that has agreed to comply with the requirements of an FFI agreement, including a Financial Institution described in a Model 2 IGA that has agreed to comply with the requirements of an FFI Agreement. The term Participating FFI also includes a qualified intermediary branch of a Reporting U.S. Financial Institution, unless such branch is a Reporting Model 1 FFI.
Passive NFFE	A "Passive NFFE" means any NFFE that is not (i) an Active NFFE, or (ii) a withholding foreign partnership or withholding foreign trust pursuant to relevant U.S. Treasury Regulations.
Registered Deemed-compliant FFI	<p>Under the IRS Regulations, the term registered deemed-compliant FFI, means an FFI registers with the IRS to declare its status, and includes:</p> <ol style="list-style-type: none"> <li>Local FFIs</li> <li>Non-reporting members of participating FFI groups</li> <li>Qualified collective investment vehicles</li> <li>Restricted funds</li> <li>Qualified credit card issuers</li> <li>Sponsored investment entities and controlled foreign corporations.</li> </ol> <p>Under the Luxembourg IGA, there are not registered compliant statuses, all deemed compliant status are non-reporting and therefore do not need to register with the IRS.</p>
Reporting Financial Institution	The term "Reporting Financial Institution" means a Reporting FATCA Partner Financial Institution or a Reporting U.S. Financial Institution, as the context requires.
Restricted distributor	The notion of Restricted Distributor is not mentioned in the IGA. A restricted distributor is a very small distributor (less than 30 customers of which at least half are related persons), which acts locally, i.e. it has not a fixed place of business outside its country of incorporation. For a full definition, please refer to the U.S. Treasury Regulations at "definition of a restricted distributor".

Specified U.S. person	<p>The term Specified U.S. Person means a U.S. Person, other than:</p> <ol style="list-style-type: none"> <li>1) a corporation the stock of which is regularly traded on one or more established securities markets;</li> <li>2) any corporation that is a member of the same expanded affiliated group as a corporation described in clause (i) above;</li> <li>3) the United States or any wholly owned agency or instrumentality thereof;</li> <li>4) any State of the United States, any U.S. Territory, any political subdivision of any of the foregoing, or any wholly owned agency or instrumentality of any one or more of the foregoing;</li> <li>5) any organization exempt from taxation under section 501(a) of the U.S. Internal Revenue Code or an individual retirement plan as defined in section 7701(a)(37) of the U.S. Internal Revenue Code;</li> <li>6) any bank as defined in section 581 of the U.S. Internal Revenue Code;</li> <li>7) any real estate investment trust as defined in section 856 of the U.S. Internal Revenue Code;</li> <li>8) any regulated investment company as defined in section 851 of the U.S. Internal Revenue Code or any entity registered with the U.S. Securities and Exchange Commission under the Investment Company Act of 1940 (15 U.S.C 80a-64);</li> <li>9) any common trust fund as defined in section 584(a) of the U.S. Internal Revenue Code;</li> <li>10) any trust that is exempt from tax under section 664(c) of the U.S. Internal Revenue Code or that is described in section 4947(a)(1) of the U.S. Internal Revenue Code;</li> <li>11) a dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any State; or</li> <li>12) a broker as defined in section 6045(c) of the U.S. Internal Revenue Code.</li> </ol>
-----------------------	-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------

\* Extract from ABBL - Guidance notes on the implementation of FATCA rules in Luxembourg. Version 1 as of 20 May 2014

## APPENDIX 5

### CRS Notes

Financial Institution	
Financial Institution	The term "Financial Institution" means a Custodial Institution, a Depository Institution, an Investment Entity, or a Specified Insurance Company.
Investment Entity with tax residence in non-participating jurisdiction and managed by an other FI (please fill in Section 4)	<p>Any Entity the gross income of which is primarily attributable to investing, reinvesting, or trading in Financial Assets if the Entity is (i) managed by a Financial Institution and (ii) not a Participating Jurisdiction Financial Institution.</p> <p>"An Entity is "managed by" another Entity if the managing Entity performs, either directly or through another service provider on behalf of the managed Entity, any of the activities or operations described in clause (i) above in the definition of 'Investment Entity'.</p> <p>An Entity only manages another Entity if it has discretionary authority to manage the other Entity's assets (either in whole or part). Where an Entity is managed by a mix of Financial Institutions, NFEs or individuals, the Entity is considered to be managed by another Entity that is a Depository Institution, a Custodial Institution, a Specified Insurance Company, or the first type of Investment Entity, if any of the managing Entities is such another Entity.</p> <p>CRS requires Reporting Financial Institution to consider such Investment Entity as Passive NFE and to provide information on Controlling Persons of the Entity.</p>
Other Investment Entity	<p>An Entity that primarily conducts as a business one or more of the following activities or operations for or on behalf of a customer:</p> <ul style="list-style-type: none"> <li>- Trading in money market instruments (cheques, bills, certificates of deposit, derivatives, etc.); foreign exchange; exchange, interest rate and index instruments; transferable securities; or commodity futures trading;</li> <li>- Individual and collective portfolio management; or</li> <li>- Otherwise investing, administering, or managing Financial Assets or money on behalf of other persons</li> </ul>
Financial Institution other than above Investment Entity (Depository Institution, Custodial Institution, Specified Insurance Company)	<p>Any Financial Institution that is:</p> <ul style="list-style-type: none"> <li>- a Governmental Entity, International Organisation or Central Bank, other than with respect to a payment that is derived from an obligation held in connection with a commercial financial activity of a type engaged in by a Specified Insurance Company, Custodial Institution, or Depository Institution;</li> <li>- a Broad Participation Retirement Fund; a Narrow Participation Retirement Fund; a Pension Fund of a Governmental Entity, International Organisation or Central Bank; or a Qualified Credit Card Issuer;</li> <li>- an Exempt Collective Investment Vehicle; or</li> <li>- a Trustee-Documented Trust: a trust where the trustee of the trust is a Reporting Financial Institution and reports all information required to be reported with respect to all Reportable Accounts of the trust;</li> </ul>
Financial Institution Non Reporting according to your local jurisdiction legislation where you are resident (type to precise below)	<p>OECD is providing a definition of Non Reporting FI in the handbook p46 which includes:</p> <p>c) any other Entity that presents a low risk of being used to evade tax, has substantially similar characteristics to any of the Entities described in subparagraphs B(1)(a) and (b), and is defined in domestic law as a Non-Reporting Financial Institution, provided that the status of such Entity as a Non-Reporting Financial Institution does not frustrate the purposes of the Common Reporting Standard.</p> <p>Following this, some EU countries defined some specific local entities which are falling in this c) definition, published in the "Official Journal" of the European Union</p> <p>In addition, the OECD requests in the handbook p 210, point 15:</p> <p>A jurisdiction must have procedures in place to ensure that Non-Reporting Financial Institutions and Excluded Accounts defined in domestic law continue to have a low risk of being used to evade tax. This could include particular Entities or types of Entities. These procedures should include a periodic review of such status. This review may be performed as part of a regular tax audit or as a separate inquiry or review.</p> <p>Therefore, the classification will allow identification of such entities and to do a quick reasonable test to confirm they are listed in their domestic law as a specific non Reporting Financial Institution.</p>
Non-Financial Institution	
<ul style="list-style-type: none"> <li>- Active Non Financial Entity - Corporation that is publicly traded or an affiliate of a publicly traded corporation</li> <li>- Active Non Financial Entity - Governmental Entity or Central Bank</li> <li>- Active Non Financial Entity - International Organisation</li> <li>Active Non-Financial Entity other than above Active Non Financial Entity categories</li> </ul>	<p>An entity will be classified as Active NFE if it meets any of the following criteria:</p> <p>a) less than 50% of the NFE's gross income for the preceding calendar year or other appropriate reporting period is passive income and less than 50% of the assets held by the NFE during the preceding calendar year or other appropriate reporting period are assets that produce or are held for the production of passive income;</p> <p>b) the stock of the NFE is regularly traded on an established securities market or the NFE is a Related Entity of an Entity the stock of which is regularly traded on an established securities market;</p> <p>An entity will be classified as Active NFE if it meets any of the following criteria:</p> <p>a) less than 50% of the NFE's gross income for the preceding calendar year or other appropriate reporting period is passive income and less than 50% of the assets held by the NFE during the preceding calendar year or other appropriate reporting period are assets that produce or are held for the production of passive income;</p> <p>c) the NFE is a Governmental Entity, an International Organisation, a Central Bank, or an Entity wholly owned by one or more of the foregoing;</p> <p>d) substantially all of the activities of the NFE consist of holding (in whole or in part) the outstanding stock of, or providing financing and services to, one or more subsidiaries that engage in trades or businesses other than the business of a Financial Institution, except that an Entity does not qualify for this status if the Entity functions (or holds itself out) as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund, or any investment vehicle whose purpose is to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes;</p> <p>e) the NFE is not yet operating a business and has no prior operating history, (a "start-up NFE") but is investing capital into assets with the intent to operate a business other than that of a Financial Institution, provided that the NFE does not qualify for this exception after the date that is 24 months after the date of the initial organisation of the NFE;</p> <p>f) the NFE was not a Financial Institution in the past five years, and is in the process of liquidating its assets or is reorganising with the intent to continue or recommence operations in a business other than that of a Financial Institution;</p> <p>g) the NFE primarily engages in financing and hedging transactions with, or for, Related Entities that are not Financial Institutions, and does not provide financing or hedging services to any Entity that is not a Related Entity, provided that the group of any such Related Entities is primarily engaged in a business other than that of a Financial Institution; or</p> <p>h) the NFE meets all of the following requirements (a "non-profit NFE"):</p> <p>i) it is established and operated in its jurisdiction of residence exclusively for religious, charitable, scientific, artistic, cultural, athletic, or educational purposes; or it is established and operated in its jurisdiction of residence and it is a professional organisation, business league, chamber of commerce, labour organisation, agricultural or horticultural organisation, civic league or an organisation operated exclusively for the promotion of social welfare;</p> <p>ii) it is exempt from income tax in its jurisdiction of residence;</p> <p>iii) it has no shareholders or members who have a proprietary or beneficial interest in its income or assets;</p> <p>iv) the applicable laws of the NFE's jurisdiction of residence or the NFE's formation documents do not permit any income or assets of the NFE to be distributed to, or applied for the benefit of, a private person or non-charitable Entity other than pursuant to the conduct of the NFE's charitable activities, or as payment of reasonable compensation for services rendered, or as payment representing the fair market value of property which the NFE has purchased; and</p> <p>v) the applicable laws of the NFE's jurisdiction of residence or the NFE's formation documents require that, upon the NFE's liquidation or dissolution, all of its assets be distributed to a Governmental Entity or other non-profit organisation, or escheat to the government of the NFE's jurisdiction of residence or any political subdivision.</p> <p>Note: Certain entities (such as U.S. Territory NFFEs) may qualify for Active NFFE status under FATCA but not Active NFE status under the CRS.</p>
Passive Non-Financial Entity (please fill in section 8.2.5)	<p>Under the CRS a "Passive NFE" means any other NFE that is not an Active NFE</p> <p>CRS requires a Passive NFE to provide information on Controlling Persons of the Entity.</p>

## APPENDIX 6

### General Tax Notes

#### **The term "Controlling Persons" means for CRS and IGA Jurisdiction**

- (a) The Natural person(s), if any, who ultimately has a controlling ownership interest in a legal person;
- (b) to the extent that there is doubt under (a) as to whether the person(s) with the controlling ownership interest is the beneficial owner(s) or where no natural person exerts control through ownership interests, the identity of the natural person(s) (if any) exercising control of the legal person or arrangement through other means;
- (c) where no natural person is identified under (a) or (b) above, the identity of the relevant natural person who holds the position of senior managing official.

2- In the case of a trust, such term means the settlor(s), the trustee(s), the protector(s) (if any), the beneficiary(ies) or class(es) of beneficiaries, and any other natural person(s) exercising ultimate effective control over the trust,

3- In the case of a legal arrangement other than a trust, such term means persons in equivalent or similar positions.

4- The term "Controlling Persons" must be interpreted in a manner consistent with the Financial Action Task Force Recommendations

5- For FI based in a country without an IGA, a passive NFFE has to identify its US substantial Owner(s) which can be an entity, according to the definition of the Internal Revenue Code (section U.S. Code › Title 26 › Subtitle A › Chapter 4 › § 1473)

#### **Power of Attorney – if self-certification completed with POA – please provide a copy of the POA.**

#### **Reporting and taxation for US Persons**

Should an investor present US Indicia, the Transfer Agent will request Form W8 or Form W9 to be provided by the investor. Should the investor provide form W8, the investor will be exempt from US Withholding tax and 1099-B reporting. Should the investor provide form W9, the investor will be subject to 1099-B reporting. In the absence of form W8 or W9, the investor will be subject to 1099-B reporting and backup withholding tax (BUWHT) will be deducted from all payments.

## APPENDIX 7

### SWIFT Set Up Form

If you would like to be setup for SWIFT for subsequent investments and/or reporting, please complete the details below. Please note that testing may be required to establish dealing and reporting connections. Please provide the contact details for the person whom we may contact to facilitate this:

Please tick and complete the applicable details below. If an item is not applicable (e.g. for DN if you are a 15022 SWIFT user), please indicate that it is not applicable.

ISO 15022 = SWIFT FIN / SWIFT MT

ISO 20022 = SWIFT XML / SWIFT NET / SWIFT MX

SWIFT Dealing Methodology: ISO 15022  
SWIFT Reporting Methodology: ISO 15022 ISO 20022  
ISO 20022

BIC TEST:	BIC LIVE:
DN TEST:	DN LIVE:
SWIFT Contact Name and contact details for initial setup:	

### SWIFT Reporting Preference

ISO 15022 SWIFT Reporting Methodology will deliver MT535s messages. ISO 20022 SWIFT Reporting Methodology will deliver semt.003.001.02 messages. In both cases: Zero holdings will not be reported and only settled amounts will be shown

	Daily	Weekly	Monthly	Annually
Frequency				

### SWIFT Dealing Behaviour

If SWIFT Dealing is required and a connection is not already established, please complete the table below to facilitate initial testing.

Transaction Type	Units	Cash / Consideration	Different Currency from Fund (FX / Cross currency Switch)
BUY / Subscription			
SELL / Redemption			
SWITCH			

### Connection Details

Please note that our DN is the same in a Test and Live environment and will route based on the SWIFT service: Swift.if.iaip / Swift.if.ia. If SWIFT dealing is required and a connection does not currently exist we will contact the contact person on the details provided above or you can send an email to [automation.implementation.group@jpmorgan.com](mailto:automation.implementation.group@jpmorgan.com).

TEST BIC	LIVE BIC	DN
ZYBKLUL0ROB	CHASLULAROB	ou=robeco,o=chaslula,o=swift

## APPENDIX 8

### Consent for Reuse of Information

By completing and signing this form, the investor authorises the Registrar to reuse previously submitted information and documentation (Investor Data) for the purpose of fulfilling anti-money laundering (AML), counter-terrorist financing (CTF), and other applicable regulatory obligations under Luxembourg law and EU regulations.

This consent aims to streamline the investor onboarding process and avoid repeated KYC requests for the same information when investing in other funds administered by the Registrar.

#### **The investor agrees and confirms that:**

- They authorise the Registrar to access and reuse KYC information and documents previously provided in connection with any current or past fund investments serviced by Registrar, where the Registrar is legally permitted to do so and the Investor Data remains suitable for the Permitted Purposes.
- The investor acknowledges that the Registrar may be subject to statutory confidentiality and/or professional secrecy obligations under Luxembourg law and, for the Permitted Purposes, the investor mandates, authorises and instructs the Registrar to hold, process and disclose Investor Data as described in this appendix and waives such confidentiality to the extent necessary for those Permitted Purposes.
- This includes, but is not limited to: identification documents, proof of address, source of wealth/funds information, and other documentation submitted for due diligence purposes.
- This authorisation is limited to regulatory compliance and may not be used for marketing or commercial purposes.
- Permitted Purposes: (a) the opening of accounts, including the processing and maintenance of AML/CTF records; (b) processing subscriptions, payments, redemptions and switches; (c) maintaining investor account records and the register; and (d) any ancillary or related functions necessary for the performance of the above purposes and/or the provision of transfer agency, administration, paying agency, custody or other related services to the Fund.

#### **Conditions for Reuse**

- Reuse of data is permitted only where the documentation remains valid, current, and legally sufficient under applicable law and regulations.
- The investor undertakes to inform the Fund, the Company, or the Registrar if there is any material change to their information, including but not limited to changes of name, legal form, tax residency, or beneficial ownership.
- The Fund, the Company, or the Registrar may request updated or additional documents at any time to ensure compliance with regulatory obligations.

#### **Data Protection and Confidentiality**

The investor acknowledges and agrees that:

- The personal data and KYC documentation being reused may be shared, on a confidential basis, with:
  - The Fund;
  - The Company;
  - Affiliates of the Registrar involved in KYC processing;
  - Competent regulatory, supervisory, tax, or law enforcement authorities if required by applicable laws and regulations.
- The processing and transfer of personal data will be carried out in accordance with:
  - Applicable Luxembourg professional secrecy and data protection laws;
  - The EU General Data Protection Regulation (GDPR).

#### **Duration and Right of Revocation**

- This consent remains valid for as long as the investor remains invested in funds administered by the Registrar and for any period thereafter as required to comply with applicable legal and regulatory retention obligations.
- The investor may revoke their consent at any time by notifying the Registrar by post or email.
- Revocation shall not affect any KYC reuse already completed under this consent prior to the date of revocation.

#### **Investor Confirmation**

By signing below, the investor confirms that they have read, understood, and agree to the contents of this appendix, and they provide their consent as outlined above.

Name:

Signature:

Date:

Title:

## APPENDIX 9

### Robeco Funds

Legal Entity	Legal entity identifier	Management Company	Transfer Agent
<b>Robeco All Strategies Funds</b>	213800QCZNO1Y925l265	Robeco Institutional Asset Management B.V.	JP Morgan Bank SE
<b>Robeco Capital Growth Funds</b>	213800ILMIZK6W7JIN12	Robeco Institutional Asset Management B.V.	JP Morgan Bank SE
<b>Robeco Collective Investment Trust</b>		Robeco Institutional Asset Management B.V.	JP Morgan Bank SE
<b>Robeco (LU) Funds III</b>	213800YB34JY1HY8QN58	Robeco Institutional Asset Management B.V.	JP Morgan Bank SE
<b>Robeco Institutional Solutions Fund</b>	2138006S1XSVGYCYHK56	Robeco Institutional Asset Management B.V.	JP Morgan Bank SE
<b>Pensioen Opbouw</b>	213800F93POSTB6DMM91	Robeco Institutional Asset Management B.V.	JP Morgan Bank SE
<b>Robeco Institutional Liability Driven Funds</b>	2138008NTXE2F73UXM18	Robeco Institutional Asset Management B.V.	JP Morgan Bank SE
<b>Robeco One</b>	213800YYC9EHGDAZRB36	Robeco Institutional Asset Management B.V.	JP Morgan Bank SE
<b>Robeco Umbrella Fund I N.V.</b>	2138001RYNIOUWPI5713	Robeco Institutional Asset Management B.V.	JP Morgan Bank SE
<b>Robeco (NL) Umbrella Fund II</b>	2138005ZSNQKK92KOJ23	Robeco Institutional Asset Management B.V.	JP Morgan Bank SE